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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

ZHANG et al.

Serial No.: 09/465,978

Group Art Unit: 1632

Filing Date: December 16, 1999

Examiner: R. Shukla

Title: METHODS AND COMPOSITIONS FOR SCREENING FOR ANGIOGENESIS

MODULATING COMPOUNDS

# INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97

Assistant Commissioner for Patents Washington, D.C. 20231

Sir:

The information listed below may be material to the examination of the aboveidentified application. Copies of the information and completed PTO-1449 forms are submitted herewith. The Examiner is respectfully requested to make this information of official record in the application. The information includes:

United States Patent No. 5,650,135 issued July 22, 1997 to Contag et al.;
United States Patent No. 6,020,121 issued February 1, 2000 to Bao et al.;
United States Patent No. 6,217,847 issued April 17, 2000 to Contag et al.;
International Publication No. WO 94/11499 published May 26, 1994;
International Publication No. WO 96/40979 A1 published December 19, 1996;
International Publication No. WO 97/00957 published January 9, 1997;
International Publication No. WO 97/11690 A2, A3 published April 3, 1997;
International Publication No. WO 97/18841 published May 29, 1997;
International Publication No. WO 97/40381 A1 published October 30, 1997;
International Publication No. WO 98/28971 published July 9, 1998;



International Publication No. WO 98/30715 published July 16, 1998;
International Publication No. WO 98/55638 published December 10, 1998;
International Publication No. WO 00/08726 published February 17, 2000;
International Publication No. WO 00/36106 published June 22, 2000;
International Publication No. WO 00/54581 A2,A3 published September 21, 2000;
International Publication No. WO 01/18195 A2 published March 15, 2001;
International Publication No. WO 01/18225 A1 published March 15, 2001;
International Publication No. WO 01/37195 A2 published May 25, 2001;

Aiello et al., "Suppression of Retinal Neovascularization *Iin Vivo* by Inhibition of Vascular Endothelial Growth Factor (VEGF) Using Soluble VEGF-Receptor Chimeric Proteins," *Proc. Natl. Acad. Sci. U.S.A.* 92:10457-10461 (1995);

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Receptor-2 (*Flk-1*) Promother/Enhancer Sequences Sufficient for Angioblast and
Endothelial Cell-Specific Transcription in Transgenic Mice," *Blood* <u>83</u>(12):4284-4292 (1999);

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Millauer, B., "Dominant-Negative Inhibition of Flk-1 Suppresses the Growth of Many Tumor Types *In Vivo*," *Cancer Res.* <u>56</u>:1615-1620 (1996);

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Soker et al., "Characterization of Novel Vascular Endothelial Growth Factor (VEGF) Receptors on Tumor Cells that Bind VEGF <sub>165</sub> Via Its Exon 7-Encoded Domain," *Journal of Biological Chemistry* 271:5761-5767 (1996);

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Waltenberger, J., "Different Signal Transduction Properties of KDR and Flt1, Two Receptors for Vascular Endothelial Growth Factor," *Journal of Biological Chemistry* 269:26988-26995 (1995);

Yoshiji et al., "Vascular Endothelial Growth Factor is Essential for Initial but not Continued *in Vivo* Growth of Human Breast Carcinoma Cells," *Cancer Research* <u>57</u>:3924-3928 (1997); and

Atty Dkt No. 9400-0003.20

USSN: 09/738,968

**PATENT** 

Yuan et al., "Time-Dependent Vascular Regression and Permeability Changes in Established Human Tumor Xenografts Induced by an Anti-Vascular Endothelial Growth Factor/Vascular Permeability Factor Antibody," *Proc. Natl. Acad. Sci. U.S.A.* <u>93</u>:14765-14770 (1996).

This Information Disclosure Statement under 37 CFR § 1.97 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

Respectfully submitted,

Date: 19 Dec 2001

Gary R Fahian

Registration No. 33,875 Patent Agent for Applicants

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# FORM PTO-1449 (Modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary) Sheet \_1\_ of \_8\_

In the Application of ZHANG et al.

Serial No.: 09/465,978

Filed: December 16, 1999

Art Unit: 1632

Examiner: R. Shukla

Title: METHODS AND COMPOSITIONS FOR SCREENING FOR ANGIOGENESIS MODULATING COMPOUNDS

# U.S. PATENT DOCUMENTS

Exam. Init.	Ref. Desig.	Document No.	Date	Name	Class	Sub Class	Filing Date
	AA-1	5,650,135	July 22, 1997	Contag et al.			
	AB-1	6,020,121	February 1, 2001	Bao et al.			
	AC-1	6,217,847	April 17, 2000	Contag et al.			

# FOREIGN PATENT DOCUMENTS

Exam. Init.	Ref. Desig.	Document No.	Publication Date	Country or Patent Office	Class	Sub Class	Trans YES	lation NO_
	AD-1	WO 94/11499	May 26, 1994	PCT				_
	AE-1	WO 96/40979 A1	December 19, 1996	PCT				
	AF-1	WO 97/00957	January 9, 1997	PCT				-
***	AG-1	WO 97/11690 A2, A3	April 3, 1997	PCT				
	AH-1	WO 97/18841	May 29, 1997	PCT				
	AI-1	WO 97/40381 A1	October 30, 1997	PCT				
	AJ-1	WO 98/28971	July 9, 1998	РСТ				
	AK-1	WO 98/30715	July 16, 1998	PCT				

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FORM PTO-1449 (Modified)
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	AL-1	WO 98/55638	December 10, 1998	PCT		,
	AM-1	WO 00/08726	February 17, 2000	PCT		
	AN-1	WO 00/36106	June 22, 2000	PCT		
	AO-1	WO 00/54581 A2,A3	September 21, 2000	PCT		
	AP-1	WO 01/18195 A2	March 15, 2001	PCT		
	AQ-1	WO 01/18225 A1	March 15, 2001	PCT		
_	AR-1	WO 01/37195 A2	May 25, 2001	PCT		

### OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, etc.)

Exam. Init.	Ref. Desig.	Description
	AS-1	Aiello et al., "Suppresion of Retinal Neovascularization <i>lin Vivo</i> by Inhibition of Vascular Endothelial Growth Factor (VEGF) Using Soluble VEGF-Receptor Chimeric Proteins," <i>Proc. Natl. Acad. Sci. U.S.A.</i> <u>92</u> :10457-10461 (1995)
	AT-1	Asahara et al., "Bone Marrow Origin of Endothelial Progenitor Cells Responsible for Postnatal Vasculogenesis in Physiological and Pathological Neovascularization," <i>Circ. Res.</i> 85:221-228 (1999)
	AU-1	Bais et al., "G-Protein-Coupled Receptor of Kaposi's Sarcoma-Associated Herpes Virus is a Viral Oncogene and Anglogenesis Activator," <i>Nature</i> 391:86-89 (1998)

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EXAMINER: Initial if citation considered whether or not the citation conforms with MPEP609. Draw a line through the citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



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Exam. Init.	Ref. Desig.	Description
	AV-1	Benjamin et al., "Conditional Switching of Vascular Endothelial Growth Factor (VEGF) Expression in Tumors: Induction of Endothelial Cell Shedding and Regression of Hemangioblastoma-Like Vessels by VEGF Withdrawal," <i>Proc. Natl. Acad. Sci. U.S.A.</i> 94:8761-8766 (1997)
	AW-1	Berse, B., "Vascular Permeability Factor (Vascular Endothelial Growth Factor) Gene is Expressed Differentially in Normal Tissues, Macrophases, and Tumors," <i>Molecular Biology of the Cell</i> 3:211-220 (1992)
	AX-1	Contag et al., "Visualizing Gene Expression Living Mammals Using a Bioluminescent Reporter," <i>Photochemistry and Photobiology</i> <u>66</u> (4):523-531 (1997)
	AY-1	Disalvo et al., "Purification and Characterization of Naturally Occurring Vascular Endothelial Growth Factor-Placenta Growth Factor Heterodimer," <i>The Journal of Biological Chemistry</i> 270(13):7717-7723 (1995)
	AZ-1	Dumont, et al., "Dominant-Negative and Targeted Null Mutations in the Endothelial Receptor Tyrosine Kinase, <i>Tek</i> , Reveal a Critical Role in Vasculogenesis of the Embryo," <i>Genes &amp; Development</i> 8:1897-1909 (1994)
	BA-1	Dvorak et al., "Distribution of Vascular Permeability Factor (Vascular Endothelial Growth Factor) in Tumors: Concentration in Tumor Blood Vessels," <i>J. Exp. Med.</i> 174:1275-1278 (1991)
	BB-1	Ferrara et al., "The Biology of Vascular Endothelial Growht Factor," <i>Endocr. Rev.</i> 18(1):4-25 (1997)
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	BD-1	Fong et al., "SU5416 Is a Potent and Selective Inhibitor of the Vascular Endothelial Growth Factor Receptor (Flk-1/KDR) That Inhibits Tyrosine Kinase Catalysis, Tumor Vascularization, and Growth of Multiple Tumor Types," <i>Cancer Research</i> 59:99-106 (1999)
	BE-1	Forsythe et al., "Activation of Vascular Endothelial Growth Factor Gene Transcription by Hypoxia-Inducible Factor 1," <i>Molecular and Cellular Biology</i> <u>16</u> (9):4604-4613 (1996)
	BF-1	Fukumura et al., "Tumor Induction of VEGF Promoter Activity in Stromal Cells," <i>Cell</i> 94:715-725 (1998)
	BG-1	Hanahan, D., "Signaling Vascular Morphogenesis and Maintenance," <i>Science</i> 277:48-50 (1997)
	BH-1	Ikeda et al., "Hypoxia-Induced Transcriptional Activation and Increased mRNA Stability of Vascular Endothelial Growth Factor in C6 Glioma Cells," <i>The Journal of Biological Chemistry</i> 270(34):19761-19765 (1995)
	BI-1	Jain, R.K., "Endothelial Cell Death, Augiogenesis, and Microvascular Function After Casteration in an Andgrogen-Dependent Tumor: Role of Vascular Endothelial Groth Factor," <i>Proc. Natl. Acad. Sci. U.S.A.</i> <u>95</u> :10820-10825 (1998)
	BJ-1	Jeltsch et al., "Hyperplasia of Lymphatic Vessels in VEGF-C Transgenic Mice," Science 276:1423-1425 (1997)
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	BM-1	Kim et al., "Inhibition of Vascular Endothelial Growth Factor-Induced Angiogenesis Suppresses Tumour Growth <i>In Vivo</i> ," <i>Nature</i> 362:841-844 (1993)
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	BP-1	Millauer, B., "High Affinity VEGF Binding and Developmental Expression Suggest Flk-1 as a Major Regulator of Vasculogenesis and Angiogenes," <i>Cell</i> <u>72</u> :835-846 (1993)
	BQ-1	Millauer, B., "Glioblastoma Growth Inhibited <i>In Vivo</i> by a Dominant-Negative Flk-1 Mutant," <i>Nature</i> 367:576-579 (1994)
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	BZ-1	Plate et al., "Up-Regulation of Vascular Endothelial Growth Factor and Its Cognate Receptors in a Rat Glioma Model of Tumor Angiogenesis," <i>Cancer Research</i> 53:5822-5827 (1993)
	CA-1	Puri et al., "The Receptor Tyrosine Kinase TIE is Required for Integrity and Survival of Vascular Endothelial Cells," <i>EMBO Journal</i> <u>14</u> (23):5884-5891 (1995)
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	CE-1	Sheweiki et al., "Induction of Vascular Endothelial Growth Factor Expression by Hypoxia and by Glucose Deficiency in Multicell Spheroids: Implications for Tumor Angiogenesis," <i>Proc. Natl. Acad. Sci. U.S.A.</i> <u>92</u> :768-772 (1995)
	CF-1	Siemeister et al., "An Antagonistic Vascular Endothelial Growth Factor (VEGF) Variant Inhibits VEGF-Stimulated Receptor Autophosphorylation and Proliferation of Human Endothelial Cells," <i>Proc. Natl. Acad. Sci. U.S.A.</i> 95:4625-4629 (1998)
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	CH-1	Soker et al., "Characterization of Novel Vascular Endothelial Growth Factor (VEGF) Receptors on Tumor Cells that Bind VEGF <sub>165</sub> Via Its Exon 7-Encoded Domain," <i>Journal of Biological Chemistry</i> 271:5761-5767 (1996)
	CI-1	Soker et al., "Inhibition of Vascular Endothelial Growth Factor (VEGF)-Induced Endothelial Cell Proliferation by a Peptide Corresponding to the Exon 7-Encoded Domain of VEGF 185," Journal of Biological Chemistry 272(50):31582-31588 (1997)
	CJ-1	Stratman, A., "Cell Type-Specific Expression of Angiopoietin-1 and Angiopoietin-2 Suggests a Role in Glioblastoma Angiogenesis," <i>American Journal of Pathology</i> 153(5):1459-1466 (1998)

xaminer:	Date Considered:
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FORM PTO-1449 (Modified)
LIST OF PATENTS AND PUBLICATIONS
FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT
(Use several sheets if necessary)
Sheet 8 of 8

In the Application of ZHANG et al.

Serial No.: 09/465,978

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Examiner: R. Shukla

Exam. Init. Ref. Desig.  CK-1		Description
		Suri et al., "Requisite Role of Angiopoietin-1, a Ligand for the TIE2 Receptor, During Embryonic Angiogenesis," <i>Cell</i> 87:1171-1180 (1996)
	CL-1	Takahashi et al., "Markedly Increased Amounts of Messenger RNAs for Vascular Endothelial Growth Factor and Placenta Growth Factor in Renal Cell Carcinoma Associated with Angiogenesis," <i>Cancer Res.</i> 54:4233-4237 (1994)
	CM-1	Terman et al., "Identification of a New Endothelial Cell Growth Factor Recptor Tyrosine Kinase," <i>Oncogene Sept.</i> 6(9):1677-1683 (1991)
	CN-1	Tischer et al., "The Human Gene for Vascular Endothelial Growth Factor," <i>Journal of Biological Chemistry</i> : <u>266</u> (18):11947-11954 (1991)
	CO-1	Waltenberger, J., "Different Signal Transduction Properties of KDR and Flt1, Two Receptors for Vascular Endothelial Growth Factor," <i>Journal of Biological Chemistry</i> 269:26988-26995 (1995)
	CP-1	Yoshiji et al., "Vascular Endothelial Growth Factor is Essential for Initial but not Continued <i>in Vivo</i> Growth of Human Breast Carcinoma Cells," <i>Cancer Research</i> 57:3924-3928 (1997)
	CQ-1	Yuan et al., "Time-Dependent Vascular Regression and Permeability Changes in Established Human Tumor Xenografts Induced by an Anti-Vascular Endothelial Growth Factor/Vascular Permeability Factor Antibody," <i>Proc. Natl. Acad. Sci. U.S.A.</i> 93:14765-14770 (1996)

Exa		